



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Anatoliy Savchenkov et al. Art Unit: 2872  
Serial No.: 10/772,218  
Filed : February 3, 2004  
Title : TUNABLE OPTICAL FILTERS HAVING ELECTRO-OPTIC  
WHISPERING GALLERY MODE RESONATORS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicants call attention to the attached Information  
Disclosure Statement and documents listed on form PTO-1449.

This filing is being made before the receipt of a first  
Office action on the merits. No fee is required.

Consideration of the foregoing and enclosures plus the  
return of a copy of the enclosed form PTO-1449 with the  
Examiner's initials in the left column per MPEP 609 are  
earnestly solicited along with an early action on the merits.

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Respectfully submitted,

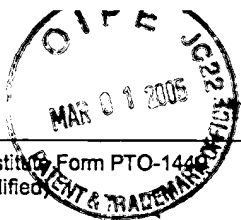


Date: February 24, 2005

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|---|--|--|--------------------------------------|
| <b>Substitute Form PTO-1449</b><br>(Modified)<br><b>Information Disclosure Statement</b><br><b>by Applicant</b><br>(Use several sheets if necessary)<br><br>(37 CFR §1.98(b)) | <b>U.S. Department of Commerce</b><br><b>Patent and Trademark Office</b> | <b>Attorney's Docket No.</b><br>06618-928001 | <b>Application No.</b><br>10/772,218 |
|   | <b>Applicant</b><br>Anatoliy Savchenkov et al.                           |  |                                      |
|   | <b>Filing Date</b><br>February 3, 2004                                   |  | <b>Group Art Unit</b><br>2872        |

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee          | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|-----------------|------------------|-------------------|-------|----------|----------------------------|
|                  | AA        | 5723856         | 3/3/1998         | Yao, et al.       |       |          |                            |
|                  | AB        | 5777778         | 7/7/1998         | Yao               |       |          |                            |
|                  | AC        | 5917179         | 6/29/1999        | Yao               |       |          |                            |
|                  | AD        | 5929430         | 7/27/1999        | Yao, et al.       |       |          |                            |
|                  | AE        | 6138076         | 3/18/2003        | Yao               |       |          |                            |
|                  | AF        | 2002/0018611    | 2/14/2002        | Maleki, et al.    |       |          |                            |
|                  | AG        | 6389197         | 5/14/2002        | Iltchenko, et al. |       |          |                            |
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|                  | AJ        | 6476959         | 11/5/2002        | Yao               |       |          |                            |
|                  | AK        | 6487233         | 11/26/2002       | Maleki, et al.    |       |          |                            |
|                  | AL        | 6488861         | 12/3/2002        | Iltchenko, et al. |       |          |                            |
|                  | AM        | 6490039         | 12/3/2002        | Maleki, et al.    |       |          |                            |
|                  | AN        | 2003/0012504    | 1/16/2003        | Iltchenko         |       |          |                            |
|                  | AO        | 6535328         | 3/18/2003        | Yao               |       |          |                            |
|                  | AP        | 6567436         | 5/20/2003        | Yao, et al.       |       |          |                            |
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|                  | AS        | 6762869         | 7/13/2004        | Maleki, et al.    |       |          |                            |
|                  | AT        |                 |                  |                   |       |          |                            |

**Foreign Patent Documents or Published Foreign Patent Applications**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |    |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
|                  |           |                 |                  |                          |       |          | Yes         | No |
|                  | AU        | WO0196936       | 12/20/2001       | WIPO                     |       |          |             |    |
|                  | AV        |                 |                  |                          |       |          |             |    |
|                  | AW        |                 |                  |                          |       |          |             |    |
|                  | AX        |                 |                  |                          |       |          |             |    |

|  |                        |
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| <b>Examiner Signature</b>  | <b>Date Considered</b> |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                        |

|  |  |   |                               |
|--|--|---|-------------------------------|
| Substitute Form PTO-1449<br>(Modified)   | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>06618-928001   | Application No.<br>10/772,218 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) |  | Applicant<br>Anatoliy Savchenkov et al. |                               |
|  |  | Filing Date<br>February 3, 2004         | Group Art Unit<br>2872        |

| Foreign Patent Documents or Published Foreign Patent Applications |              |                    |                     |                             |       |          |             |    |
|---|--------------|--------------------|---------------------|-----------------------------|-------|----------|-------------|----|
| Examiner<br>Initial   | Desig.<br>ID | Document<br>Number | Publication<br>Date | Country or<br>Patent Office | Class | Subclass | Translation |    |
|   |              |                    |                     |                             |       |          | Yes         | No |
|   | AY           |                    |                     |                             |       |          |             |    |

| Other Documents (include Author, Title, Date, and Place of Publication) |              |  |
|---|--------------|--|
| Examiner<br>Initial   | Desig.<br>ID | Document   |
|   | AZ           | Dan Sadot, et al.; Tunable Optical Filters for Dense WDM Networks; Dec. 1998; IEEE Communications Magazine, pps. 50-55   |
|   | AAA          | Jaafar M.H. Elmirghani, et al.; Technologies and Architectures for Scalable Dynamic Dense WDM Networks; Feb. 2000; IEEE Communications Magazine, pps. 58-66                              |
|   | ABB          | Vladimir S. Ilchenko, et al.; Whispering-gallery-mode electro-optic modulator and photonic microwave receiver; Feb. 2003; J. Opt. Soc. Am. B, Vol. 20, No. 2, pps. 333-342               |
|   | ACC          | L.E. Myers, et al.; Quasi-phase-matched optical parametric oscillators in bulk periodically poled LiNbO <sub>3</sub> ; November 1995; J. Opt. Soc. Am. B/Vol. 12, No. 11; pps. 2102-2116 |

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| Examiner Signature   | Date Considered |
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